CONTINUITY OF OPERATIONS PLAN
EMERGENCY READINESS EVALUATION QUESTIONNAIRE

FOR

COMPUTERS, LOCAL AREA NETWORKS
AND OPERATIONAL SERVICES

June 1998

EMERGENCY READINESS EVALUATION

An annual emergency readiness evaluation will be conducted on all Continuity of Operations Planning to document their status. The evaluation will be help determine plans in place and identify planning that remains to be done. The evaluations will be conducted by members of the Resource Management Staff through focused interviews with planning managers and project specific staff and/or support, if deemed necessary. The evaluation will be conducted through the series of attached questionnaires, which will require completion and delivery before the scheduled panel discussion.

The following instructions are provided to assist the responsible operational service or LAN disaster planning manager in answering the evaluation questions, and aid in the interview process.

The questions should be answered "**Yes**," "**In Process**," or "**No,**" by placing either an "X" or "/" in the appropriate box.

1.   A **YES (Y)** answer indicates that the item in question exists, is adequate and is current, etc.

2.   An **IN PROCESS (IP)** answer indicates that the item exists **but is incomplete, out-of-date** etc. "**IP**, but **. . . . .**"

3.   A **NO (N)** answer indicates that the item **does not exist** at all!

If a question does not apply because of "**NO**" answer to a previous question, answer "**NO**." For example:

   a. Is there *a formal* written disaster recovery plan? **NO**

   b. Is there a *formal distribution list* for the plan? **NO**

Answers to the questions will be analyzed and the progress of planning will be determined. The status of emergency readiness will be reported to the Office Director.

The evaluation questions may be used to develop an action item list for the continuity of operations action plan. The action plan will be updated quarterly.

CONTINUITY OF OPERATIONS PLAN DOCUMENTATION   **Y   IP   N**

- Is there a formal, written continuity of operations plan? . . . . ☐ ☐ ☐

- Is the plan in electronic form? . . . . ☐ ☐ ☐

- Is there one person responsible for maintaining the plan? . . . . ☐ ☐ ☐

- Is there a formal distribution list for the plan? . . . . ☐ ☐ ☐

- Does everyone on the distribution list have a current
  copy of the plan? . . . . ☐ ☐ ☐

- Is the plan readily available if a disaster is declared? . . . . ☐ ☐ ☐

CRITICAL SERVICES/LAN APPLICATIONS

                                                                       Y   IP   N

- Has each operational service or LAN application been assigned a
  priority within its operational environment? . . . . ☐ ☐ ☐

- Has the cost/loss to the agency of not restoring the service or LAN
  application been determined? . . . . ☐ ☐ ☐

- Have date and time constraints on restoring each service or
  LAN application been determined? . . . . ☐ ☐ ☐

- Has the impact of not restoring each service or LAN application
  for a day, week, month been determined? . . . . ☐ ☐ ☐

- Have dependent carriers/vendors, or processing dependencies been
  identified for each service or LAN application? . . . . ☐ ☐ ☐

- Have legal and contractual restraints, if any, been identified and
  addressed for each service or LAN application? . . . . ☐ ☐ ☐

- Have all emergency readiness requirements (hardware, software,
  data, etc.) been determined for each of the highest priority
  services or LAN applications? . . . . ☐ ☐ ☐

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BACKUP FACILITIES & PROCEDURES   Y   IP   N

- Are backup files maintained at a secondary site? . . . . ☐ ☐ ☐

- Are duplicate program files stored off-site? . . . . ☐ ☐ ☐

- Are duplicate copies of documentation maintained? . . . . ☐ ☐ ☐

- Are copies of documentation stored off-site? . . . . ☐ ☐ ☐

- Are backup copies of documentation reviewed periodically to
  assure applicability? . . . . ☐ ☐ ☐

- Is a backup service facility, contingent operations mode or
  backup LAN available . . . . ☐ ☐ ☐

- Is the backup service facility or LAN in a different room
  or building than the primary facility or LAN? . . . . ☐ ☐ ☐

- Can the backup facility handle the current workload? . . . . ☐ ☐ ☐

- If no designated backup exists, is there access to
  another service facility, carrier, or LAN? . . . . ☐ ☐ ☐

- Is an implementation plan available for use of backup facility,
  carrier, or LAN? . . . . ☐ ☐ ☐

- Have formal contingency plans been developed for service facility
  or backup capability? . . . . ☐ ☐ ☐

CONTINGENCY PROCEDURES   Y IP N

- Has it been determined if manual processing of each critical
  service function or LAN application is feasible and necessary? . . . . ☐ ☐ ☐

- Are there formal, written manual operating procedures for
  each such critical service or LAN application? . . . . ☐ ☐ ☐

- Are there formal, written procedures for resuming operating
  services and LAN-based applications after manual processing? . . . . ☐ ☐ ☐

- Have all manual processing procedures been tested? . . . . ☐ ☐ ☐

- Have all procedures for resumption of operational services
  and LAN processing been tested? . . . . ☐ ☐ ☐

RECOVERY PROCEDURES   Y   IP   N

- Have disaster recovery teams been defined? . . . . ☐ ☐ ☐

- Does each recovery team have specific written responsibilities
  and procedures to follow? . . . . ☐ ☐ ☐

Do recovery procedures cover each of the following:

- Retrieval of all necessary files documentation etc. from
  the off-site vault? . . . . ☐ ☐ ☐

- Activation of a backup facility, carrier or LAN if necessary? . . . . ☐ ☐ ☐

- Transportation of personnel supplies etc., to offsite
  alternatives, if necessary? . . . . ☐ ☐ ☐

- Establishment of necessary communications and
  telecommunications links? . . . . ☐ ☐ ☐

- Copying backup files and programs to the backup alternative? . . . . ☐ ☐ ☐

- Specific instructions for recovery of each service function
  and critical LAN application? . . . . ☐ ☐ ☐

- Running a test to verify proper performance of hardware,
  software and communication/telecommunications links? . . . . ☐ ☐ ☐

- Determining a schedule for interim restoration of service
  functions and processing of critical LAN applications? . . . . ☐ ☐ ☐

- Liaison with users? . . . . ☐ ☐ ☐

- Return to normal operations and processing when the primary
  service facility or LAN is fully restored? . . . . ☐ ☐ ☐

EMERGENCY READINESS EVALUATION

EVENT DETECTION

	Y	IP	N

- Are there specific procedures for responding to emergencies (fires. bomb threats etc.)? . . . . ☐ ☐ ☐

- Are emergency procedures readily available in the service facility? . . . . ☐ ☐ ☐

- Do emergency procedures include actions that pertain specifically to the operational service or LAN data? . . . . ☐ ☐ ☐

- Do emergency procedures specify persons to be contacted and their alternates? . . . . ☐ ☐ ☐

- Are there procedures or guidelines for escalating problems or interruptions to disaster status? . . . . ☐ ☐ ☐

MANAGEMENT PROCEDURES

	Y	IP	N

- Is there one person with management responsibility for disaster recovery? . . . . ☐ ☐ ☐

- Is there one person responsible for coordinating recovery operations? . . . . ☐ ☐ ☐

- Have recovery operation teams been defined, staffed and trained? . . . . ☐ ☐ ☐

- Is there a procedure for notifying the disaster management team? . . . . ☐ ☐ ☐

- Have specific locations been identified, either on-site and off-site (or both) to use as control centers for directing recovery operations? . . . . ☐ ☐ ☐

- Is there a procedure for conducting damage assessment? . . . . ☐ ☐ ☐

- Have the persons responsible for damage assessment been identified? . . . . ☐ ☐ ☐

- Is there a procedure for notifying the recovery LAN organization and mission-essential service users of steps to be taken? . . . . ☐ ☐ ☐

- Is there a current list of service facility and LAN personnel phone numbers? . . . . ☐ ☐ ☐

EMERGENCY READINESS EVALUATION

INVENTORY

Is there a current inventory of each of the following resources:

	Y	IP	N
● Hardware	☐	☐	☐
● Communications and telecommunications components	☐	☐	☐
● Data entry devices, if required	☐	☐	☐
● Firmware	☐	☐	☐
● Software	☐	☐	☐
● Data	☐	☐	☐
● Supplies	☐	☐	☐
● Does the inventory show which items are needed for critical service functions and LAN applications?	☐	☐	☐
● Is there a list of dependent carriers, hardware, software and other service vendors?	☐	☐	☐

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EMERGENCY READINESS EVALUATION

TRAINING

	Y	IP	N
• Is there a systematic program for training on the continuity of operations plan?	☐	☐	☐
• Are records kept of which employees have received continuity of operations training?	☐	☐	☐
• Is the training program revised based on the results of recovery tests?	☐	☐	☐
• Are service facility and LAN staff given cross-training?	☐	☐	☐
• Is the continuity of operations plan used as the basis for training?	☐	☐	☐

TESTING

	Y	IP	N
• Have the contents of the offsite vault been tested for adequacy within the past year?	☐	☐	☐
• Are there procedures for testing restoration of services using inhouse service or LAN facilities and off-site files and documentation?	☐	☐	☐
• Have recovery procedures been tested within the past year using inhouse facilities and off-site files and documentation?	☐	☐	☐
• Have recovery procedures been tested within the past year using backup facilities and offsite files and documentation?	☐	☐	☐

MAINTENANCE

	Y	IP	N
• Is there a schedule for review and revision of the continuity of operations plan?	☐	☐	☐
• Is there a procedure for initiating revisions to the continuity of operations plan?	☐	☐	☐
• Are the results of testing reviewed for training implications?	☐	☐	☐
• Are the results of training reviewed for planning implications?	☐	☐	☐

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